

OSSE LEA Part B Compliance Monitoring Tool (9/06/2011)

Student Name (Last, First)

Name of LEA

Record Review Completed By

Student ID

Name of School

Date of Record Review

Student Date of Birth (note if child aged 3 or 17+)

Item # Regulation/ Authority	Item Text	Response Criteria	Y	N	N A	Corrective Actions/Improvement Activities:
C2B -1 §300.124(c)	The LEA attended the transition planning conference.	<p>Yes = A Part C referral is in the file and there is documentation that the LEA attended the transition planning conference.</p> <p>No = A Part C referral is in the file but there is no documentation that the LEA attended the transition planning conference.</p> <p>NA = Student is not in early childhood special education and/or there is no documentation that the child received Part C services.</p>				<p>Student Level: Not correctable at student level.</p> <p>LEA Level: LEA director, special education coordinator and Dean of Students must demonstrate that OSSE Part C to Part B transition guidance has been received.</p> <p>Provide documentation of above to OSSE.</p>
IEV - 2 §300.504(a) (1)	Upon initial referral, or parent request for evaluation, parents were provided procedural safeguards.	<p>Yes = There is documentation in the file that demonstrates that the parent received a copy of procedural safeguards at initial referral.</p> <p>No = There is NO documentation in the file that demonstrates that the parent received a copy of procedural safeguards at initial referral.</p> <p>NA = Student's most recent evaluation is a reevaluation.</p>				<p>Student Level: Provide a copy of procedural safeguards to parents.</p> <p>LEA Level: Randomly select 10 additional files (initial IEPs) and document that procedural safeguards were provided in all cases. If not, provide copies of procedural safeguards to all parents of students who received initial evaluation in the past 12 months.</p> <p>Provide documentation of above to OSSE.</p>

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IEV - 3 §300.300(a)	Parental consent was obtained prior to conducting initial evaluation.	<p>Yes = Signed consent form on file AND signature date was prior to initial evaluation.</p> <p>No = No signed consent form in file OR consent form had signature date after initial evaluation.</p> <p>NA = Student's most recent evaluation is a reevaluation.</p>			<p>Student Level: Not correctable at the student level.</p> <p>LEA Level: Pull 10 random files to determine if consent was contained prior to initial evaluation. If not, LEA must attend training on proper evaluation procedures.</p> <p>Provide documentation of above to OSSE.</p>
IEV - 4 §300.304	A variety of assessment tools and strategies were used to gather relevant functional, developmental and academic information about the child, including information provided by the parent.	<p>Yes = Documentation from at least two sources:</p> <ul style="list-style-type: none"> • Aptitude and achievement tests • Parent input • Teacher recommendations • Child's physical condition • Child's background • Adaptive behavior <p>No = Documentation does NOT exist that supports two or more data sources were used to determine eligibility.</p> <p>NA = Student's most recent evaluation is a reevaluation.</p>			<p>Student Level: Using multiple and appropriate sources, reconvene the IEP team to re-determine eligibility and the educational needs of the student.</p> <p>LEA Level: Pull 10 random files to determine if a variety of assessment tools were used to determine eligibility. If not, LEA must attend training on proper evaluation procedures.</p> <p>Provide documentation of above to OSSE.</p>
REV - 5 §300.300(c) (1)	Parental consent obtained prior to conducting reevaluation.	<p>Yes = Signed consent form in file AND signature date was prior to reevaluation.</p> <p>No = No signed consent form in file OR consent form had signature date after reevaluation.</p> <p>NA = Student's most recent evaluation is an initial evaluation.</p>			<p>Student Level: Not correctable at the student level.</p> <p>LEA Level: Pull 10 random files to determine if consent was contained prior to reevaluation. If not, LEA must attend training on proper evaluation procedures.</p> <p>Provide documentation of above to OSSE.</p>
REV - 6 §300.305	IEP team reviewed existing data to determine continued eligibility.	<p>Yes = IEP documents that the following data were reviewed:</p> <ul style="list-style-type: none"> • Evaluations and information provided by the parents • Current classroom, local or state assessment(s), and classroom-based observations • Observations by teachers and related service providers. <p>No = Documentation does NOT exist that supports that existing evaluation data were used to determine continued eligibility.</p> <p>NA = Student's most recent evaluation is a reevaluation.</p>			<p>Student Level: Using existing data, reconvene the IEP team to re-determine eligibility and the educational needs of the student.</p> <p>LEA Level: Pull 10 random files to determine if existing data were reviewed to determine continued eligibility. If not, LEA must attend training on proper evaluation procedures.</p> <p>Provide documentation of above to OSSE.</p>

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REV – 7 §300.306(c)	A variety of sources were used to determine continued eligibility.	<p>Yes = IEP documents that at least two of the following data sources were reviewed:</p> <ul style="list-style-type: none"> • Aptitude and achievement tests • Parent input • Teacher recommendations • Child's physical condition • Child's background • Adaptive behavior <p>No = Documentation does NOT exist that supports two or more data sources were used to determine eligibility.</p> <p>NA = Student's most recent evaluation is an initial evaluation.</p>			<p>Student Level: Using multiple and appropriate sources, reconvene the IEP team to re-determine eligibility and the educational needs of the student.</p> <p>LEA Level: Pull 10 random files to determine if a variety of assessment tools were used to determine eligibility. If not, LEA must attend training on proper evaluation procedures.</p> <p>Provide documentation of above to OSSE.</p>
IEP – 8 §300.322(a)	Parent was invited to IEP meeting.	<p>Yes = A copy of the invitation to parent(s) was in the file.</p> <p>No = A copy of the invitation to parent(s) was NOT in the file.</p> <p>NA = Student 18 or over and rights have transferred.</p>			<p>Student Level: Reconvene IEP meeting and invite parent(s).</p> <p>LEA Level: LEA must develop plan to ensure that all parents are invited to IEP Team meetings and provide documentation that the plan was implemented.</p> <p>Provide documentation of above to OSSE.</p>
IEP – 9 §300.321(a) §300.321(e)	General education teacher attended the IEP meeting.	<p>Yes = The general education teacher was in attendance OR written agreement indicating excusal AND evidence of general education teacher input.</p> <p>No = The general education teacher was required but NOT in attendance AND written input from general education teacher was NOT evident. (Even if excusal exists.)</p> <p>NA = A general education teacher was not a required participant of the student's IEP Team.</p>			<p>Student Level: Not correctable at the student level.</p> <p>LEA Level: At least three LEA administrators must attend training regarding the proper development of IEPs.</p> <p>Provide documentation of the above to OSSE.</p>
IEP – 10 §§300.321(a) 300.321(e)	The LEA designee attended the IEP meeting.	<p>Yes = The LEA designee was in attendance.</p> <p>No = The LEA designee was NOT in attendance.</p>			<p>Student Level: Not correctable at the student level.</p> <p>LEA Level: At least three LEA administrators must attend training regarding the proper development of IEPs.</p> <p>Provide documentation of the above to OSSE.</p>

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IEP – 11 §300.320(a) (2)(i)	The IEP contains a statement of measurable annual goals.	<p>Yes = IEP contains goals that are measureable.</p> <p>No = The IEP does NOT contain goal(s) OR goal(s) not measureable.</p>			<p>Student Level: Reconvene the IEP meeting to develop measureable goals.</p> <p>LEA Level: Randomly select 10 files for evidence of measureable IEP goals. If all files do not contain measureable goals, reconvene IEP meetings to develop measureable goals.</p> <p>Provide documentation of the above to OSSE.</p>
IEP -12 §300.320(a) (2)(i)(B)	IEP contains a statement of measureable annual related services goals (in the areas(s) of ST, PT, OT, counseling or APE) designed to meet the student's needs that result from his/her disability.	<p>Yes = IEP contains related services goals that are measureable (in the area(s) of ST, PT, OT, counseling or APE).</p> <p>No = IEP does NOT contain related services goal(s) OR goal(s) not measureable.</p> <p>NA = Student's needs do not require related services (in the area(s) of ST, PT, OT, counseling or APE).</p>			<p>Student Level: Reconvene the IEP meeting to develop measureable related services goals.</p> <p>LEA Level: Randomly select 10 files for evidence of measureable IEP goals. If all files do not contain evidence of measureable related services goals, reconvene IEP meetings to develop measureable related services goals.</p> <p>Provide documentation of above to OSSE.</p>
IEP -13 §300.320(a) (3)	IEP contains a description of how progress toward meeting related services goals will be measured.	<p>Yes = IEP contains description of how progress will be measured.</p> <p>No = IEP does NOT contain description of how progress will be measured.</p> <p>NA = Student does not have related services goals.</p>			<p>Student Level: Reconvene the IEP meeting to develop a description of how progress will be measured.</p> <p>LEA Level: At least three LEA administrators must attend training regarding the proper development of IEPs.</p> <p>Provide documentation of above to OSSE.</p>
IEP – 14 §300.106(a) (2)	File contains evidence that ESY was determined on an individual basis.	<p>Yes = The IEP documents that ESY was determined on an individual basis.</p> <p>No = The IEP does NOT document that ESY was determined on an individual basis.</p>			<p>Student Level: IEP Team must convene to determine appropriate amount of compensatory education.</p> <p>LEA Level: At least three LEA administrators must attend training regarding the proper development of IEPs.</p> <p>Provide documentation of the above to OSSE.</p>

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<p>IEP – 15</p> <p>§300.320(a)(1)</p>	<p>IEP includes a PLAAFP that states how disability affects involvement in general curriculum (6-21) or how the disability affects student's involvement in appropriate activities (3-5).</p>	<p>Yes = The IEP includes a PLAAFP that states how disability affects involvement or impact in the general education curriculum or involvement in age appropriate activities.</p> <p>No = The IEP does NOT include a PLAAFP that states how disability affects involvement or impact in the general education curriculum or involvement in age appropriate activities.</p>			<p>Student Level: Reconvene IEP meeting to discuss how disability affects involvement and progress in general curriculum.</p> <p>LEA Level: At least three LEA administrators and/or staff members must attend training regarding the proper development of IEPs.</p> <p>Provide documentation of the above to OSSE.</p>
<p>IEP – 16</p> <p>§300.320(c)</p>	<p>If the child is 17 or older, the IEP includes a statement that the child has been informed of the child's rights, that will transfer to the child on reaching the age of majority.</p>	<p>Yes = The IEP includes the required statement.</p> <p>No = The IEP does NOT include the required statement.</p> <p>NA = Student under age 17 and transfer of rights not yet occurred OR the child has been determined to be incompetent under District law.</p>			<p>Student Level: Obtain and file documentation of notification to student.</p> <p>LEA Level: LEA must develop plan for notifying parents and students of the transfer of student rights and provide documentation that the plan was implemented.</p> <p>Provide documentation of the above to OSSE.</p>
<p>IEP – 17</p> <p>§300.324(a)</p>	<p>The IEP documents that the IEP Team considered the concerns of the parents for enhancing the education of their child.</p>	<p>Yes = The IEP includes documentation of consideration of parental concerns.</p> <p>No = The IEP does NOT include documentation of consideration of parental concerns.</p> <p>NA = Student over 18 and parental rights have transferred.</p>			<p>Student Level: Obtain and file documentation of consideration of parental concerns.</p> <p>LEA Level: LEA must convene a meeting with parent representatives to discuss best practices for communicating with parents regarding their concerns for their children with IEPs.</p> <p>Provide documentation of the above to OSSE.</p>

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<p>LRE - 18</p> <p>§300.114 (a)(2)(ii)</p>	<p>Supplemental aids and services were used before removing the student from the regular education environment.</p>	<p>Yes = The IEP documents that supplemental aids and services were used in the regular education environment before removing the student from the regular educational environment.</p> <p>No = The IEP does NOT clearly document the use of supplementary aids and services prior to removing the student from the regular educational environment.</p> <p>NA = The student has not been removed from the regular education environment.</p>			<p>Student Level: Implement student specific supplementary aids and services in the classroom for six (6) weeks and reconvene IEP team to consider if the placement is the LRE for the student.</p> <p>LEA Level: LEA administrators and school staff must receive technical assistance regarding implementing supplementary aids and services in the regular educational environment and provide documentation to OSSE that OSSE's LRE toolkit has been reviewed by the LEA director, special education coordinator and Dean of Students.</p> <p>Provide documentation of the above to OSSE.</p>
<p>LRE - 19</p> <p>§300.116(d)</p>	<p>In selecting the LRE, there was consideration of any harmful effects on the student or on the quality of services needed.</p>	<p>Yes = The IEP file contains documentation, in the justification section, that the IEP team considered harmful effects on the student or on the quality of services.</p> <p>No = The IEP file does NOT contain documentation in the justification section that harmful effects were considered by the IEP team.</p>			<p>Student Level: Reconvene IEP team within 30 days of report and include documentation of the consideration of harmful effects in the justification section of the student's IEP.</p> <p>LEA Level: LEA must develop plan to ensure harmful effects are considered prior to placement decisions and provide documentation that the plan was implemented and provide documentation to OSSE that OSSE's LRE toolkit has been reviewed by the LEA director, special education coordinator and Dean of Students.</p> <p>Provide documentation of the above to OSSE.</p>
<p>DIS - 20</p> <p>§300.530(e)</p>	<p>Student removed from educational setting for more than 10 days, within next 10 school days the IEP team met to determine if the behavior was a manifestation of the student's disability.</p>	<p>Yes = Manifestation determination information is completed timely and in file.</p> <p>No = Manifestation determination information is NOT complete timely OR not found in file.</p> <p>NA = Student was not removed for more than 10 days.</p>			<p>Student Level: IEP team must convene to determine if manifestation determination is necessary and if compensatory education is appropriate.</p> <p>LEA Level: At least three LEA administrators must attend training regarding IDEA discipline requirements.</p> <p>Provide documentation of the above to OSSE.</p>

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DIS – 21 §300.324 (a)(2)	The IEP team considered the use of positive behavioral interventions and supports and other strategies to address behavior.	<p>Yes = The IEP file contains documentation that the IEP team considered the use of positive behavioral interventions and supports and other strategies to address behavior including the development of a BIP.</p> <p>No = The IEP file does NOT contain documentation that the IEP team considered the use of positive behavioral interventions and supports and other strategies to address behavior.</p> <p>NA = There is no evidence that the child has behaviors that impede the child's learning or that of others.</p>			<p>Student Level: Reconvene IEP team within 30 days of report to consider the use of positive behavior supports and behavioral interventions and other strategies to address behavior including developing a BIP.</p> <p>LEA Level: At least three LEA administrators must attend training regarding the use of positive behavioral interventions and supports.</p> <p>Provide documentation of the above to OSSE.</p>
DAT – 22 §300.211	Student name in file is same as student name reported in SEDS.	<p>Yes = Student name in file is spelled the same as in SEDS.</p> <p>No = Student name in file is NOT spelled the same as in SEDS.</p>			<p>Student Level: Find and correct student name in file or in STARS/OLAMS/Proactive.</p> <p>LEA Level: Train personnel responsible for data entry of special education data.</p> <p>Provide documentation of the above to OSSE.</p>
DAT – 23 §300.211	Date of birth in file is same as date of birth reported in SEDS.	<p>Yes = Date of birth in file is same as reported in SEDS.</p> <p>No = Date of birth in file is NOT the same as reported in SEDS.</p>			<p>Student Level: Find and correct date of birth in file or in STARS/OLAMS/Proactive.</p> <p>LEA Level: Train personnel responsible for data entry of special education data.</p> <p>Provide documentation of the above to OSSE.</p>
DAT – 24 §300.211	Primary disability in file is same as primary disability reported in SEDS.	<p>Yes = Primary disability in file is same as reported in SEDS.</p> <p>No = Primary disability in file is NOT the same as reported in SEDS.</p>			<p>Student Level: Find and correct primary disability in file or in SEDS.</p> <p>LEA Level: Train personnel responsible for data entry of special education data.</p> <p>Provide documentation of the above to OSSE.</p>

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DAT – 25 §300.211	Placement in file is same as placement reported in SEDS.	<p>Yes = Placement in file is same as placement reported in SEDS.</p> <p>No = Placement in file is NOT the same as reported in SEDS.</p>			<p>Student Level: Find and correct placement in file or in SEDS.</p> <p>LEA Level: Train personnel responsible for data entry of special education data.</p> <p>Provide documentation of the above to OSSE.</p>
DAT - 26 §300.211	Date of initial evaluation in file is same as date of initial evaluation in SEDS.	<p>Yes = Initial evaluation date in file is same as reported in SEDS.</p> <p>No = Initial evaluation date in file is NOT same as reported in SEDS.</p> <p>NA = Date of initial evaluation not found in file.</p>			<p>Student Level: Find and correct initial evaluation date in file or in SEDS.</p> <p>LEA Level: Train personnel responsible for data entry of special education data.</p> <p>Provide documentation of the above to OSSE.</p>
DAT – 27 §300.211	Date of reevaluation in file is same as date of reevaluation in SEDS.	<p>Yes = Reevaluation date in file is same as reported in SEDS.</p> <p>No = Reevaluation date in file is NOT same as reported in SEDS.</p> <p>NA = Date of initial evaluation not found in file.</p>			<p>Student Level: Find and correct date of reevaluation in file or in SEDS.</p> <p>LEA Level: Train personnel responsible for data entry of special education data.</p> <p>Provide documentation of the above to OSSE.</p>
DAT - 28 §300.211	Date of IEP development is same as date of IEP development in SEDS.	<p>Yes = Date of IEP development in file is same as reported in SEDS.</p> <p>No = Date of IEP development in file is NOT same as reported in SEDS.</p> <p>NA = Date of IEP development not found in file.</p>			<p>Student Level: Find and correct date of IEP development in file or in SEDS.</p> <p>LEA Level: Train personnel responsible for data entry of special education data.</p> <p>Provide documentation of the above to OSSE.</p>
DAT - 29 §300.211	Date of IEP implementation is same as date of IEP implementation in SEDS.	<p>Yes = Date of IEP implementation in file is same as reported in SEDS.</p> <p>No = Date of IEP implementation in file is NOT same as reported in SEDS.</p> <p>NA = Date of IEP implementation not found in file.</p>			<p>Student Level: Find and correct date of IEP implementation in file or in SEDS.</p> <p>LEA Level: Train personnel responsible for data entry of special education data.</p> <p>Provide documentation of the above to OSSE.</p>

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LEA Level Review						
DAT - 29 §300.211	The LEA has entered all students who have been referred to special education into SEDS.	Yes = All files reviewed are entered into SEDS. No = There is documentation that a student was referred to special education however the student information does not appear in SEDS.				LEA Level: LEA must develop and implement a plan that addresses timely data entry. Provide documentation of the above to OSSE.
DSP – 30 §300.600(e)	The LEA implements hearing officer determinations in a timely manner.	Yes = Documentation confirms that all hearing officer decisions were implemented in a timely manner. No = Documentation does NOT confirm that all hearing officer decisions were implemented in a timely manner. NA = No hearing officer decisions have been issued against the LEA.				LEA Level: LEA must develop and implement a plan that addresses timely compliance with dispute resolution activities. Provide documentation of the above to OSSE.
DSP – 31 OSSE State Complaint Policy	The LEA provides information to OSSE regarding State complaints within 10 days of request.	Yes = State complaint files document receipt of information within 10 days of request. No = State complaint files do NOT document receipt of information within 10 days of request. NA = No State complaints have been filed against the LEA.				LEA Level: LEA must develop and implement a plan that addresses timely compliance with dispute resolution activities. Provide documentation of the above to OSSE.
DSP – 32 §300.600(e)	The LEA timely implements corrective actions contained in the State complaint decision letter.	Yes = State complaint files document timely correction of noncompliance identified in the decision letter. No = State complaint files do NOT document timely correction of noncompliance identified in the decision letter. NA = No State complaints have been filed against the LEA.				LEA Level: LEA must develop and implement a plan that addresses timely compliance with dispute resolution activities. Provide documentation of the above to OSSE.
NIM – 33 §300.172	The LEA provides instructional materials to blind students or other students with print disabilities.	Yes = The LEA coordinates with NIMAC or provided documentation that blind students or other students with print disabilities receive instructional materials in a timely manner. No = The LEA does NOT coordinate with NIMAC OR did NOT provide documentation that blind students or other students with print disabilities receive instructional materials in a timely manner. NA = The LEA does not serve blind students or other students with print disabilities.				LEA Level: LEA must provide documentation of communication with NIMAC or documentation of providing students with instructional materials. Provide documentation of the above to OSSE.

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FIS – 34 §80.20	The LEA has a policy/procedure governing the preparation and approval of budgets and budget amendments for all funds.	<p>Yes = The LEA has demonstrated that it has a policy/procedure.</p> <p>No = The LEA has NOT demonstrated that it has policy/procedure.</p>			<p>LEA Level: The LEA must develop policy/procedure for governing the preparation and approval of budgets and budget amendments for all funds.</p> <p>Provide documentation of the above to OSSE.</p>
FIS – 35 §§80.36(b)(1), (b)(2)	The LEA has procurement policies/procedures which conform to applicable Federal law and regulations and a contract administration system in place which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.	<p>Yes = The LEA has demonstrated that it has procurement standards aligned with 34 CFR §§80.36(b)(1), (b)(2).</p> <p>No = The LEA has NOT demonstrated that it has procurement standards aligned with 34 CFR §§80.36(b)(1) and (b)(2).</p> <p>NA = The LEA has not used IDEA grant funds for contracts.</p>			<p>LEA Level: The LEA must develop policies/procedures that conform to applicable Federal law and regulations as has a contract administration system in place which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders including ensuring that grant funds are used for allowable costs.</p> <p>Provide documentation of the above to OSSE.</p>
FIS – 36 OSSE GAN	The LEA has policies and procedures that ensure expenditures in the IDEA Reimbursement Workbooks (RW) are reviewed to ensure that expenses align to its approved grant application, IDEA, and OMB Circular A-87.	<p>Yes = The LEA has demonstrated that it has a policy/procedure.</p> <p>No = The LEA has NOT demonstrated that it has policy/procedure.</p>			<p>LEA Level: The LEA must develop policy/procedure that ensures expenditures included in the IDEA RW are reviewed and approved by the appropriate grant director/supervisor before the RW is submitted.</p> <p>Provide documentation of the above to OSSE.</p>
FIS – 37 §80.23	The LEA has documentation sufficient to determine whether federal funds were obligated and reimbursement was sought within the approved grant period.	<p>Yes = Based on the sample tested, the LEA has demonstrated that it obligated IDEA expenditures within the appropriate grant period.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated that it obligated IDEA expenditures within the appropriate grant period.</p>			<p>LEA Level: The LEA must submit invoices to OSSE for allowable expenditures, incurred within the correct grant period, that equate to the amount deemed to be disallowable. These invoices must not have been paid for by any other federal funding source previously.</p>
FIS – 38 §80.42 GEPA	The LEA retains financial records and relevant supporting documentation for the required time period, which is 5 years.	<p>Yes = The LEA has demonstrated that is has a records retention policy that ensures financial records are retained for 5 years.</p> <p>No = The LEA has NOT demonstrated that is has a records retention policy that ensures financial records are retained for 5 years.</p>			<p>LEA Level: The LEA must develop policy/procedure that ensures financial records are retained for 5 years.</p> <p>Provide documentation of the above to OSSE.</p>

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FIS – 39 §80.32	The LEA has controls in place to protect equipment acquired with IDEA funds costing more than \$5,000.	<p>Yes = The LEA has demonstrated that it has controls in place to protect assets acquired with federal funds costing more than \$5,000.</p> <p>No = The LEA has NOT demonstrated that it has controls in place to protect assets acquired with federal funds costing more than \$5,000.</p> <p>NA = The LEA has provided a policy which states that the LEA will not use IDEA funds for equipment costing more than \$5,000.</p>			<p>LEA Level: The LEA must develop policy/procedure that ensures assets procured with federal funds are protected, particularly those assets costing more than \$5,000.</p> <p>Provide documentation of the above to OSSE.</p>
FIS – 40 §80.36(b)	The LEA maintains a code of conduct standard/conflict of interest policy for employees involved in the administration of contracts.	<p>Yes = The LEA has demonstrated that it has code of conduct/conflict of interest standards.</p> <p>No = The LEA has NOT demonstrated that it has code of conduct/conflict of interest standards.</p>			<p>LEA Level: The LEA must develop code of conduct/conflict of interest policy for employees involved in the administration of contracts.</p> <p>Provide documentation of the above to OSSE.</p>
FIS – 41 §80.20	The LEA has an accounting record that ensures federal funds are not co-mingled.	<p>Yes = Based on the sample tested, the LEA has demonstrated that federal funds are not co-mingled.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated federal funds are not co-mingled.</p>			<p>LEA Level: The LEA must develop policy/procedure that ensures federal grant funds are not co-mingled.</p> <p>Provide documentation of the above to OSSE.</p>
FIS – 42 §80.20	The LEA accurately tracks expenditures assigned to each of its IDEA grants, applicable budgets and set-asides.	<p>Yes = Based on the sample tested, the LEA has demonstrated that it accurately tracks expenditures and records revenue received from its IDEA grants at a detailed level.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated that it accurately tracks expenditures OR that it records revenue received from its IDEA grants at a detailed level.</p>			<p>LEA Level: The LEA must develop policy/procedure that ensures expenditures are accurately tracked.</p> <p>Provide documentation of the above to OSSE.</p>
FIS – 43 OMB Circular A-87	The LEA appropriately charges salaries of personnel working on IDEA grant objectives and are supported with IDEA grant funds.	<p>Yes = Based on the sample tested, the LEA has demonstrated that salaries are appropriately charged to its IDEA grant programs.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated that salaries are appropriately charged to its IDEA grant programs.</p> <p>NA = The LEA did not use IDEA grant funds for salaries.</p>			<p>LEA Level: The LEA must develop policy/procedure that ensures salaries of personnel who are paid with grant funds are charged appropriately.</p> <p>Provide documentation of the above to OSSE.</p>

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<p>FIS – 44</p> <p>OMB Circular A-87</p>	<p>The LEA appropriately tracks the time and effort of personnel who are supported by IDEA grant funds.</p>	<p>Yes = Based on the sample tested, The LEA has demonstrated it keeps the appropriate time and effort records for personnel working on IDEA cost objectives.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated it keeps the appropriate time and effort records for personnel working on IDEA cost objectives.</p> <p>NA = The LEA did not use IDEA grant funds for personnel.</p>			<p>LEA Level:</p> <p>The LEA must develop policy/procedure that ensures OMB Circular A-87 Time and Effort requirements are followed.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 45</p> <p>§80.20(b)(6)</p>	<p>The LEA has source documentation for items for which it purchased and sought reimbursement from IDEA funds.</p>	<p>Yes = Based on the sample tested, the LEA has verified it purchased and received the items it sought IDEA reimbursement for in the IDEA RW.</p> <p>No = Based on the sample tested, the LEA was NOT verified it purchased and received the items it sought IDEA reimbursement for in the IDEA RW.</p>			<p>LEA Level:</p> <p>The LEA must (1) develop policies/procedures to ensure it receives the items it purchases with federal funds; (2) submit invoices to OSSE for allowable expenditures that equate to the amount deemed disallowable; and (3) include invoices and proof of payment documentation for all items included in its next RW.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 46</p> <p>§80.36</p>	<p>The LEA has followed procurement procedures consistent with EDGAR and OMB Circular A-87 for developing and awarding contracts for services, supplies, and materials.</p>	<p>Yes = Based on the sample tested, the LEA has demonstrated that it followed the appropriate procurement procedures for developing and awarding contracts.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated that it followed the appropriate procurement procedures for developing and awarding contracts.</p> <p>NA = The LEA did not use IDEA grant funds for contracts for services, supplies or materials.</p>			<p>LEA Level:</p> <p>The LEA must (1) submit invoices to OSSE for allowable expenditures that equate to the amount deemed disallowable; and (2) include invoices and proof of payment documentation for all items included in its next RW.</p> <p>Provide documentation of the above to OSSE.</p>
<p>FIS – 47</p> <p>§80.20 & OMB Circular A-87</p>	<p>The LEA has followed procedures consistent with IDEA, EDGAR, and OMB Circular A-87 to ensure that IDEA funds were expended only for allowable activities.</p>	<p>Yes = Based on the sample tested, the LEA has demonstrated that only allowable costs were charged to its IDEA grants.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated that only allowable costs were charged to its IDEA grants.</p>			<p>LEA Level:</p> <p>The LEA must (1) review and revise its policies/procedures to ensure consistent compliance with local and federal regulations; (2) submit invoices to OSSE for allowable expenditures that equate to the amount deemed disallowable; and (3) include invoices and proof of payment documentation for all items included in its next RW.</p>

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FIS – 48 §80.20 & OSSE GAN	The LEA correctly paid and retained invoices for expenditures it included in its IDEA RW.	<p>Yes = Based on the sample tested, the LEA has demonstrated that it correctly reviewed, paid, and retained records of invoices for expenditures included in its RW.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated that it correctly reviewed, paid, and retained records of invoices for expenditures included in its RW.</p> <p>NA = Based on the sample tested, the LEA was not required to retain invoices.</p>			<p>LEA Level: The LEA must (1) review and revise its policies/procedures to ensure consistent compliance with local and federal regulations; (2) submit invoices to OSSE for allowable expenditures that equate to the amount deemed disallowable; and (3) include invoices and proof of payment documentation for all items included in its next RW.</p>
FIS – 49 OMB Circular A-87	If applicable, the LEA procured, utilized, and charged construction expenses to its IDEA grants in a manner consistent with its approved application, EDGAR, Curricular A-87, and IDEA-ARRA guidance.	<p>Yes = Based on the sample tested, the LEA has demonstrated that it procures, utilizes, and charges equipment and property expenses to its IDEA grants appropriately.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated that it procures, utilizes, and charges equipment and property expenses to its IDEA grants appropriately.</p> <p>NA = LEA has not used IDEA funds for construction.</p>			<p>LEA Level: The LEA must reimburse OSSE for the misused funds within 60 days.</p>
FIS – 50 §300.226 & §300.646	If applicable, the LEA utilized IDEA funds for providing Coordinated Early Intervening Services (CEIS) for appropriate uses.	<p>Yes = Based on the sample tested, the LEA demonstrated that it utilized the CEIS funds for appropriate uses.</p> <p>No = Based on the sample tested, the LEA has NOT demonstrated that it utilized the CEIS funds for appropriate uses.</p> <p>NA = LEA has not reserved funds for CEIS.</p>			<p>LEA Level:</p> <ul style="list-style-type: none"> • Voluntary Elections - the LEA must modify its existing budgets and spending plans. • Required Election – the LEA must submit quarterly CEIS activity and expenditure reports to OSSE for the next three quarters.
FIS – 51 §300.226(d)	If applicable, the LEA is properly tracking students who receive CEIS.	<p>Yes = The LEA demonstrated that it has procedures in place to track the number of students who received CEIS and the number of students who subsequently received special education.</p> <p>No = The LEA did NOT demonstrate that it has procedures in place to track the number of students who received CEIS OR the number of students who subsequently received special education.</p> <p>NA = LEA has not reserved funds for CEIS.</p>			<p>LEA Level: Within 90 days provide OSSE with the required documentation that the LEA has a policy/procedure to track students for two years and provide OSSE with CEIS report and within 30 days of the written procedure, demonstrate that the LEA has begun tracking students who received CEIS.</p>

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FIS – 52 §300.134	If applicable, the LEA has undergone timely meaningful consultation with private school representatives and representatives of parents of parentally-placed private school students with disabilities.	<p>Yes = The LEA has documentation that it engaged in meaningful consultation with representatives.</p> <p>No = The LEA has NOT documented meaningful consultation with representatives.</p> <p>NA = LEA not required to engage in consultation.</p>			<p>LEA Level: Within 90 days LEA must provide documentation of meaningful consultation regarding child find, proportionate share, consultation process and provision of services (including written explanation if needed).</p>
FIS – 53 §300.134	If applicable, the LEA has sought reimbursement for serving parentally placed students with disabilities in private schools in a manner consistent with IDEA.	<p>Yes = The LEA has sought reimbursement this year for Equitable Services.</p> <p>No = Based on the sample tested, the LEA has NOT sought reimbursement this year for Equitable Services.</p> <p>NA = LEA not responsible for proportionate share.</p>			<p>LEA Level: The LEA must submit quarterly IDEA Equitable Services activity and expenditure reports to OSSE for the next three quarters.</p>
FIS – 54 §300.203	The LEA did not reduce its level of expenditures for the education of students with disabilities made from state and local funds below the level of expenditures for the preceding fiscal year.	<p>Yes = The LEA has demonstrated that it has not reduced its level of expenditures for the education of students with disabilities made from state and local funds below the level of expenditures for the preceding fiscal year.</p> <p>No = The LEA has NOT demonstrated that it has not reduced its level of expenditures for the education of students with disabilities made from state and local funds below the level of expenditures for the preceding fiscal year.</p> <p>NA = The LEA was not operating in the preceding fiscal year.</p>			<p>LEA Level: The LEA must provide OSSE with local funds in the amount of the reduction that does not qualify for an exception under §300.204 or an adjustment under §300.205.</p>

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Student Name (Last, First)

Name of LEA

Record Review Completed By

Student ID

Name of School

Date of Record Review

Student Date of Birth

Item # Regulation/ Authority	Item Text	Response Criteria	Y	N	N A	Corrective Actions: Student Level and Additional LEA Level
STR -1 §300.320(b)	There is an appropriate measurable postsecondary goal that addresses education OR training after high school.	<p>Yes = The IEP contains at least one appropriate postsecondary goal in the area of education or training that is:</p> <ul style="list-style-type: none"> • Measurable • Aligns with PLOP AND • Aligns with assessment results <p>No = The IEP does not contain a postsecondary goal in the area of education or training or the goal is not measureable or the goal does not align with present levels of performance and assessment results.</p>				<p>Student Level: Convene IEP team to develop appropriate goal.</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>
STR – 2 §300.320(b)	There is an appropriate measurable postsecondary goal that addresses employment after high school.	<p>Yes = The IEP contains at least one appropriate postsecondary goal in the area of employment that is:</p> <ul style="list-style-type: none"> • Measurable • Aligns with PLOP AND • Aligns with assessment results <p>No = The IEP does not contain a postsecondary goal in the area of employment or the goal is not measureable or the goal does not align with present levels of performance and assessment results.</p>				<p>Student Level: Convene IEP team to develop appropriate goal.</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>

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STR - 3 §300.320(b)	If needed, there is an appropriate measurable postsecondary goal that addresses independent living.	<p>Yes = The IEP contains at least one appropriate postsecondary goal in the area of independent living that is:</p> <ul style="list-style-type: none"> • Measurable • Aligns with PLOP AND • Aligns with assessment results <p>No = The IEP does not contain a postsecondary goal in the area of independent living or the goal is not measureable or the goal does not align with present levels of performance and assessment results.</p> <p>NA = An independent living goal is not appropriate for the student.</p>				<p>Student Level: Convene IEP team to develop appropriate goal.</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>
STR - 4 §300.320(b)	Postsecondary goal(s) are updated annually.	<p>Yes = The file contains evidence that postsecondary goals were updated within the past year. (Or, this is the first IEP for the student which contains transition goals.)</p> <p>No = There is no evidence that the postsecondary goals have been updated within the past year.</p>				<p>Student Level: Convene IEP team to develop appropriate goal.</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>
STR - 5 §300.320(b)	Postsecondary goal(s) are based on age appropriate transition assessments.	<p>Yes = The file contains documentation that age appropriate transition assessment(s) were used (date administered and results listed) to develop student's postsecondary goals.</p> <p>No = The file does NOT contain documentation that age appropriate transition assessment(s) were used to develop student's postsecondary goals.</p>				<p>Student Level: Conduct age appropriate transition assessment(s) and convene IEP meeting to review results.</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>
STR - 6 §300.320	There are transition services in the IEP that will assist the student to meet postsecondary goal(s).	<p>Yes = Transition services are present in the IEP.</p> <p>No = Transition services are NOT present in the IEP.</p>				<p>Student Level: Convene IEP meeting to identify transition services.</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>
STR - 7 §300.320(b) (2)	Transition services include courses of study that will enable the student to meet postsecondary goal(s).	<p>Yes = Courses of study are included in the transition services.</p> <p>No = Courses of study are NOT included in the transition services.</p>				<p>Student Level: Convene IEP meeting to identify transition services, including courses of study.</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>

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STR - 8 §300.321(b)	There is evidence that the student was invited to the IEP meeting.	<p>Yes = File contains the student's invitation to the IEP meeting.</p> <p>No = File does NOT contain the student's invitation to the IEP meeting.</p>				<p>Student Level: In student's next annual IEP, invite and document the invitation of, the student to the IEP meeting.</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>
STR - 9 §300.321(b)	If appropriate, there is evidence that a representative of any participating agency was invited to the IEP team meeting WITH the prior consent of the parent or student who has reached the age of majority.	<p>Yes = File contains evidence that a representative from a participating agency was invited to the IEP meeting AND parent/student consent for inviting participating agency was obtained.</p> <p>No = One or both of the following documentation was NOT found: - IEP invitation to representative from participating agency, - parent/student consent to invite representative from participating agency.</p> <p>NA = No participating agency appropriate. (If no transition services listed and are likely to be provided/paid for by an outside agency, then NA.)</p>				<p>Student Level: If appropriate in student's next annual IEP, there is evidence that a representative of any participating agency was invited to the IEP meeting with prior consent of parent or student (who has reached the age of majority).</p> <p>LEA Level: LEA must demonstrate 100% compliance on next quarterly review.</p>